



Atty. Dkt. No. 027756-0101

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11/5/99

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Arthur W. CHAFFEE  
Title: INVESTMENT PORTFOLIO TRACKING SYSTEM AND METHOD  
Appl. No.: 09/410,825  
Filing Date: 1 October 1999  
Examiner: N. SUBRAMANIAN  
Art Unit: 3624

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith on a modified Form SB08 is a listing of document(s) known to Applicant in order to comply with Applicant's duty of disclosure pursuant to 37 C.F.R. § 1.56. A copy of the listed document(s) is being submitted to comply with the provisions of 37 C.F.R. §§ 1.97-1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 C.F.R. § 1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a prima facie prior art reference against the claims of the present application.

**NO FEE IS DUE FOR THIS SUBMISSION**

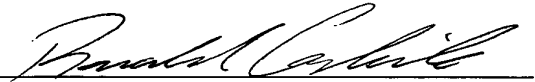
This Information Disclosure is filed in response to an Examiner's Request for Information under Rule 1.105, which states that "the fee and certification requirements of 37 CFR §1.97 are waived for those documents submitted in reply to this requirement." Therefore no fee is due with respect to this disclosure.

Applicants respectfully requests that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form SB08 be returned in accordance with M.P.E.P. § 609.

Respectfully submitted,

Date: October 27, 2003

By



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